



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

3

| Complete if Known    |                   |
|----------------------|-------------------|
| Application Number   | 10/591,804        |
| Filing Date          | September 6, 2006 |
| First Named Inventor | John M. Lucas     |
| Art Unit             | Not Yet Assigned  |
| Examiner Name        | Not Yet Assigned  |

Attorney Docket Number 06005/41116

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number-Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
| A1                 |                       | US-20020019672  | 02-14-2002                     | Paunonen   |   |
| A2                 |                       | US-20020022894  | 02-21-2002                     | Eryurek et al.                                     |   |
| A3                 |                       | US-20020022895  | 02-21-2002                     | Genise et al.                                      |   |
| A4                 |                       | US-20020055790  | 05-09-2002                     | Havekost   |   |
| A5                 |                       | US-20020077711-A1   | 06-20-2002                     | Nixon et al.                                       |   |
| A6                 |                       | US-20020193888  | 12-19-2002                     | Wewalaarachchi et al.                              |   |
| A7                 |                       | US-20030014500  | 01-16-2003                     | Schleiss et al.                                    |   |
| A8                 |                       | US-20030028269  | 02-06-2003                     | Spriggs et al.                                     |   |
| A9                 |                       | US-20030153988  | 08-14-2003                     | Shepard et al.                                     |   |
| A10                |                       | US-20030191803  | 10-09-2003                     | Chinnici et al.                                    |   |
| A11                |                       | US-20030236576  | 12-25-2003                     | Resnick et al.                                     |   |
| A12                |                       | US-20040075689  | 04-22-2004                     | Schleiss et al.                                    |   |
| A13                |                       | US-20040153804  | 08-05-2004                     | Blevins et al.                                     |   |
| A14                |                       | US-20040199925  | 10-07-2004                     | Nixon et al.                                       |   |
| A15                |                       | US-20050197803-A1   | 09-08-2005                     | Eryurek et al.                                     |   |
| A16                |                       | US-20050197805-A1   | 09-08-2005                     | Eryurek et al.                                     |   |
| A17                |                       | US-20050197806-A1   | 09-08-2005                     | Eryurek et al.                                     |   |
| A18                |                       | US-5,168,441  | 12-01-1992                     | Onarheim et al.                                    |   |
| A19                |                       | US-5,611,059  | 03-11-1997                     | Benton et al.                                      |   |
| A20                |                       | US-5,631,825-A  | 05-20-1997                     | van Weele et al.                                   |   |
| A21                |                       | US-5,680,409  | 10-21-1997                     | Qin et al.   |   |
| A22                |                       | US-5,706,455  | 01-06-1998                     | Benton et al.                                      |   |
| A23                |                       | US-5,841,654  | 11-24-1998                     | Verissimo, et al.                                  |   |
| A24                |                       | US-5,926,177  | 07-20-1999                     | Hatanaka et al.                                    |   |
| A25                |                       | US-6,173,208  | 01-09-2001                     | Park et al.  |   |
| A26                |                       | US-6,362,839  | 03-26-2002                     | Hamilton et al.                                    |   |
| A27                |                       | US-6,385,496  | 05-07-2002                     | Irwin et al.                                       |   |
| A28                |                       | US-6,396,516  | 05-28-2002                     | Beatty   |   |
| A29                |                       | US-6,445,963-B1   | 09-03-2002                     | Blevins et al.                                     |   |
| A30                |                       | US-6,571,133  | 05-27-2003                     | Mandl et al.                                       |   |
| A31                |                       | US-6,587,108-B1   | 07-01-2003                     | Guerlain et al.                                    |   |
| A32                |                       | US-6,618,630  | 09-09-2003                     | Jundt et al.                                       |   |
| A33                |                       | US-6,633,782  | 10-14-2003                     | Schleiss et al.                                    |   |
| A34                |                       | US-6,691,280  | 02-10-2004                     | Dove et al.  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|--|--------------------------------|--|---|----------------|
| B1                 |                       | EP-0813129   | 12-17-1997                     | Foxboro Co   |   |                |
| B2                 |                       | EP-1122652   | 08-08-2001                     | Mitsubishi Electric Corp                           |   |                |
| B3                 |                       | GB-2349958   | 11-15-2000                     | Fisher Rosemount Systems Inc                       |   |                |
| B4                 |                       | GB-2372365   | 08-21-2002                     | Fisher Rosemount Systems Inc                       |   |                |

|                    |                             |                 |            |
|--------------------|-----------------------------|-----------------|------------|
| Examiner Signature | /Crystal J. Barnes-Bullock/ | Date Considered | 11/22/2009 |
|--------------------|-----------------------------|-----------------|------------|

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /CJB/

|                              |   |    |   |                          |                   |
|------------------------------|---|----|---|--------------------------|-------------------|
| Substitute for form 1449/PTO |   |    |   | <i>Complete if Known</i> |                   |
|                              |   |    |   | Application Number       | 10/591,804        |
|                              |   |    |   | Filing Date              | September 6, 2006 |
|                              |   |    |   | First Named Inventor     | John M. Lucas     |
|                              |   |    |   | Art Unit                 | Not Yet Assigned  |
|                              |   |    |   | Examiner Name            | Not Yet Assigned  |
| Sheet                        | 2 | of | 3 | Attorney Docket Number   | 06005/41116       |

|     |                |            |                                |  |
|-----|----------------|------------|--------------------------------|--|
| B5  | WO-95/04314    | 02-09-1995 | Fisher-Rosemount Systems, Inc. |  |
| B6  | WO-2002/071169 | 09-12-2002 | Fisher-Rosemount Systems, Inc. |  |
| B7  | WO-2003/075206 | 09-12-2003 | Fisher-Rosemount Systems, Inc. |  |
| B8  | WO-2005/107409 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B9  | WO-2005/107410 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B10 | WO-2005/107416 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B11 | WO-2005/109122 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B12 | WO-2005/109123 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B13 | WO-2005/109124 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B14 | WO-2005/109125 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B15 | WO-2005/109126 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B16 | WO-2005/109128 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B17 | WO-2005/109129 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B18 | WO-2005/109130 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B19 | WO-2005/109131 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |
| B20 | WO-2005/109250 | 11-17-2005 | Fisher-Rosemount Systems, Inc. |  |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                       |   |  |  |
|---------------------------------|-----------------------|---|--|--|
| Examiner Initials               | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.   |  |  |
|                                 | C1                    | CAMO product datasheet, "The Unscrambler 9.6," <a href="http://www.camo.com">www.camo.com</a> . <b>no date</b>  |  |  |
|                                 | C2                    | Developers.sun.com, "Core J2EE Patterns - Data Access Object," CORE J2EE PATTERN CATALOG (2004). Retrieved from the Internet on 02/01/2006: <URL: <a href="http://web.archive.org/web/20040414043406/java.sun.com/blueprints/corej2eepatterns/Patter">http://web.archive.org/web/20040414043406/java.sun.com/blueprints/corej2eepatterns/Patter</a> |  |  |

|                    |                             |                 |            |
|--------------------|-----------------------------|-----------------|------------|
| Examiner Signature | /Crystal J. Barnes-Bullock/ | Date Considered | 11/22/2009 |
|--------------------|-----------------------------|-----------------|------------|

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /CJB/

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|                              |   |    |   |                          |                   |
|------------------------------|---|----|---|--------------------------|-------------------|
| Substitute for form 1449/PTO |   |    |   | <i>Complete if Known</i> |                   |
|                              |   |    |   | Application Number       | 10/591,804        |
|                              |   |    |   | Filing Date              | September 6, 2006 |
|                              |   |    |   | First Named Inventor     | John M. Lucas     |
|                              |   |    |   | Art Unit                 | Not Yet Assigned  |
|                              |   |    |   | Examiner Name            | Not Yet Assigned  |
| Sheet                        | 3 | of | 3 | Attorney Docket Number   | 06005/41116       |

|  |     |  |  |
|--|-----|--|--|
|  |     | ns/DataAccessObjects.html>>  |  |
|  | C3  | Han et al., "Web Based rSPC (realtime Statistical Process Control) System Supporting XML Protocol," ISIE, Vol. 1, pp.399-403 (2001).                 |  |
|  | C4  | Mehta et al., "Feedforward Neural Networks for Process Identification and Prediction," Neural Network and Expert Systems Presentation (2001).        |  |
|  | C5  | Mohr et al., "BizTalk and Application Integration - Translating Between Message Specification: BizTalk Mapper," Professional BizTalk, pp.1-3 (2001). |  |
|  | C6  | StatSoft product datasheet, "Statistica, Multivariate Statistical Process Control," www.statsoft.com. <b>no date</b>                                 |  |
|  | C7  | Tzovla et al., "Abnormal Condition Management Using Expert Systems," Neural Network and Expert Systems Presentation (2001).                          |  |
|  | C8  | Umetrics product datasheet, "SIMCA-P 11" and "SIMCA-P+ 11," www.umetrics.com. <b>no date</b>   |  |
|  | C9  | W3C, "XSL Transformations (XSLT)," W3C Recommendation, pp.3 (1999).  |  |
|  | C10 | International Search Report for International Application No. PCT/US2005/015588, mailed August 26, 2005.   |  |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

|                    |                             |                 |            |
|--------------------|-----------------------------|-----------------|------------|
| Examiner Signature | /Crystal J. Barnes-Bullock/ | Date Considered | 11/22/2009 |
|--------------------|-----------------------------|-----------------|------------|

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /CJB/